Department of Defense Directive

ASD(C)

SUBJECT : DoD Information Resources Management Program

References: (a) Title 44, United States Code, Section 3501 et seq.
(Public Law 96-511, "The Paperwork Reduction Act
of 1980, " December 11, 1980)
(b) Deputy Secretary of Defense Memorandum,
"Designation of Senior Officials under the
' Paperwork Reduction Act of 1980, ' Public
Law 96-511 ," June 29, 1981 (hereby canceled)
(c) DoD Directive 5100.40, "Responsibility for
the Administration of the DoD Automatic
Data Processing Program, " August 19, 1975
(hereby canceled)
(d) Title 10, United States Code, Section 2315 (Warner
Amendment) (Public Law 97-86, "DoD Authorization
Act of 1982, " December 1, 1981)

A. PURPOSE

This Directive:

1. Establishes the DoD Information Resources Management (IRM)
Program to promote coordinated and integrated information management
functions and implements reference (a) .

2. Cancels references (b) and (c).

B. APPLICABILITY AND SCOPE

1. This Directive applies to the Office of the Secretary of
Defense (OSD) , the Military Departments (including their National
Guard and reserve components), the Organization of the Joint Chic fs
of Staff (OJCS), the Unified and Specified Commands, and the Defense
Agencies (hereafter referred to collectively as "DoD Components").

2. Its provisions cover the information management activities
of information technology, data elements, information collection,
privacy of records, information security, statistical activities,
forms, reports, and records. A list of DoD policy issuances related
to these functions is at. enclosure 1.

3. Its provisions cover the management of information within
the Department of Defense, as well as information provided to and
received from government agencies and information received from
the public.

Terms used in this Directive are defined in enclosure 2.

D. __POLICY__

It is the policy of the Department of Defense to implement IRM aggressively in ways that enhance mission performance through the effective, economic acquisition and use of information.

E. __PROCEDURES__

In achieving the above policy, it is necessary that efforts be directed toward procedures that are designed to:

1.   Support DoD operations and decisionmaking with information that sufficiently meets the need in terms of availability, accuracy, timeliness, and general quality.

2.   Provide for the economic and effective acquisition of information resources emphasizing maximum practicable competition and lowest total overall cost consistent with mission requirements.

3.   Structure information systems in ways that encourage horizontal, as well as vertical, sharing of information within the Department of Defense, with other government agencies, and with allied nations, consistent with security and privacy requirements.

4.   Ensure that information planning becomes an integral part of the management process at all levels.

5.   Require user responsibility and accountability in the development of effective information systems.

6.   Manage information, information technology, and information systems using a disciplined approach from inception through acquisition and use until discontinuance.

7.   Use regular reviews and evaluations to identify opportunities for improvement, to increase the usefulness of information, to reduce the cost of information activities, and, in general, to further DoD IRM Program goals and objectives .

8.   Create a broad awareness of IRM concepts and practices and provide necessary training.

9.   Organize and integrate information management functions to accomplish mission goals.

10.   Collect information that is nonduplicative and that supports essential needs in a cost-effective manner.

11.   Establish and maintain effective working relationships within the Department of Defense and with Congress and the federal central management agencies, such as the Office of Management and Budget (OMB), the General Services Administration (GSA), and the General Accounting Office, with respect to IRM matters.

12.   Encourage users and information managers to plan effectively for the sustainability and readiness of information resources in both peacetime and wartime conditions.

F.   RESPONSIBILITIES

1.   The Assistant Secretary of Defense (Comptroller) ASD(C) shall:

a.   Serve as the DoD senior official responsible for implementing Pub. L. 96-511 (reference (a)).

b.   Be responsible for planning, coordinating, developing, and managing uniform policy and procedures for the DoD IRM Program.   In discharging this responsibility, the ASD(C) shall develop unified actions to be taken by all DoD Components in response to Executive Branch initiatives to implement reference (a).

c.   Issue management guidance on planning for and using information technology, including office automation.   The ASD(C) shall approve or delegate approval for acquisition of information technology for the OSD and the OJCS.

d.   Refine management processes that can be used for the selective review and evaluation of IRM procedures and policy.

e.   Serve as or designate a liaison with the OMB, GSA, other government agencies, and industry on IRM-related matters.

f.   Promote career development and training for personnel associated with information management activities.

g.   Identify, in coordination with the OSD Principal Staff Assistants, and inform the OMB of legislative and policy recommendations that would improve information management.

h.   Monitor the orderly implementation of information processing standards and advanced software development and evaluation techniques-

i.   Provide a statistical base of consistent* and consolidated information to support DoD senior executives in the decisionmaking process.

j.   Plan for future IRM·by identifying initiatives, new options, and opportunities for improving mission performance.

k. Define IRM research and development (R&D) requirements for an information science and technology R&D program after consultation with DoD Components.

l. Provide for an inventory that contains data profiles of major DoD information holdings and other information resources.

2. The Under Secretary of Defense for Research and Engineering (USDR&E), or designee, shall issue policy and guidance on acquiring information technology that conforms to 10 U.S.C. 2315 (reference (d)) and shall:

a. In coordination with the ASD(C), provide appropriate acquisition guidance reflecting acquisition considerations of the DoD IRM Program.

b. Develop an information science and technology R&D program that is responsive to IRM requirements.

c. Issue policy and develop programs for telecommunications systems to support information ❏ anagement activities.

3. The Under Secretary of Defense for Policy shall provide guidance and policy for ensuring the security of information and information technology resources.

4. The Assistant Secretary of Defense (Manpower, Reserve Affairs, and Logistics) shall develop programs and provide guidance to ensure the readiness, survivability, and sustainability of essential information resources and systems during periods of emergency.

5. The OSD Principal Staff Assistants, within their assigned functional areas of responsibility, shall:

a. Oversee and manage the development and evaluation of information requirements, develop and implement systems to meet those requirements, and administer their portion of the annual information collection budget. They shall designate an IRM representative to be responsible for coordination with the Office of the ASD(C).

b. Plan and coordinate programs to achieve the cost-effective integration of information and information systems.

c. Identify and put into effect information management initiatives that will improve mission accomplishment.

d. Ensure that OSD information collections are justified, cost-effective, and nonduplicative, require minimum data, and meet essential needs.

e. Develop, maintain, and provide management information; to be used by the ASD(C) as the statistical base of executive information to support DoD senior executives.

6. The <u>Chairman of the Joint Chiefs of Staff</u> shall promote excellence in IRM education through the National Defense University for senior-level and intermediate-level executive users of information systems.

7. <u>Heads of DoD Components</u> shall:

    a. Appoint a senior official (or a senior representative in the case of the Defense Agencies), reporting directly to the head of the DoD Component, to be responsible for developing the Component's IRM Program.

    b. Organize information management functions within the DoD Component to enhance mission performance.

    c. Require users' responsibility and accountability in managing and integrating information. In discharging this responsibility, they shall provide standards, methods, and tools to aid users in collecting, processing, and using information in a cost-effective manner.

    d. Ensure that the senior official or senior representative, as appropriate, approves or delegates approval for the acquisition of information technology resources. The senior official or senior representative shall use acquisition activities possessing professional procurement personnel whose expertise is in information technology procurement, including developing solicitation documents, evaluating vendor responses, and pursuing competitive selections .

    e. Emphasize competitive procurement at lowest total overall cost to achieve mission requirements.

    f. Review and evaluate IRM activities within the DoD Component and use the results to improve information management processes and information quality.

    g. Plan for future IRM by identifying initiatives, programs, and new options that further enhance the mission effectiveness and productivity of operations and inform other DoD Components of opportunities for program improvement.

    h. Establish and support management processes for reviewing and evaluating IRM policy and procedures and information holdings.

    i. Issue procedures to ensure that information collections are justified and nonduplicative and meet essential needs. They shall administer their portion of the annual information collection budget.

    j. Develop procedures for assessing the paperwork and reporting burden of proposed legislation affecting the DoD Component.

    k. Develop, maintain, and provide management information to be used by the ASD(C) as the statistical base of executive information to support DoD senior executives.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward three copies of implementing documents to the Assistant Secretary of Defense (Comptroller) within 180 days.

PAUL THAYER
Deputy Secretary of Defense

Enclosures - 2
1. Related DoD Policy Issuances
2. Definitions

A. <u>INFORMATION REQUIREMENTS ANALYSIS</u>

DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976, implements the Federal Reports Act (Pub. L. 79-831) ; establishes uniform policies and criteria for the development, review, approval, and ❏anagement of internal and interagency information requirements, public reporting requirements, and data requirements placed on contractors; defines responsibilities of the ASD(C), other OSD Components, and other DoD Components; and delegates authority to Military Departments, OJCS, and Defense Agencies to approve their own internal information requirements.

B. <u>DATA ELEMENTS AND CODES REGISTRATION AND STANDARDIZATION</u>

1. DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program, " December 7, 1964, establishes the DoD Data Elements and Data Codes Standardization Program and defines policies and responsibilities for the development and use of data elements and codes.

2. DoD Instruction 5000.12, "Data Elements and Data Codes Standardization Procedures," April 27, 1965, and DoD 5000.12-M, "DoD Manual for Standard Data Elements," December 1982. The Directive establishes procedures, definitions, and criteria for identifying, developing., coding, and ❏aintaining standard data elements, data items, data codes, and data use identifiers. The Manual, published semiannually, lists approved standard data elements for use throughout the Department of Defense by reference number, keyword, data element, and data item name and shows obsolete data elements. It includes a general description of standardization procedures and criteria.

3. DoD Instruction 5000.18, "Implementation of Standard Data Elements and Related Features," March 17, 1969, establishes policies and procedures for implementation of DoD standard data elements in DoD information systems. The Instruction includes procedures for developing implementation schedules.

C. <u>FORMS AND CONTRACTUAL DATA REQUIREMENTS MANAGEMENT</u>

DoD Instruction 5000.21, "Forms Management Program," December 5, 1973, establishes policies, procedures, and responsibilities for the DoD Forms Management Program; delegates authority to the Military Departments, OJCS, and Defense Agencies to approve forms for use within their own organizations; and includes procedures for obtaining approval of Standard Forms, Department of Defense (DD) Forms, and Secretary of Defense (SD) Forms.

D. <u>STATISTICAL POLICY</u>

1. DoD Directive 5000.20, "Management and Dissemination of Statistical Information," August 8, 1979, establishes policies for the preparation and dissemination of statistical information designed to ensure compatibility of DoD data; gives the ASD(C) policy responsibility in the statistical area; and provides DoD statistical policy.

2. DoD Instruction ꓳꓷꓶ ꓸꓸꓹꓘꓹ ꓹ ꓸ ꓼ ꓸ ꓸ ꓸꓳ
1979, provides for the publication of the Digest and the Executive Summary; explains the objectives, background, and descriptions of the publications; assigns responsibility to the heads of DoD Components to provide information; and gives the ASD(C) the authority to issue annual guidance.

E. **IRM EDUCATION AND CAREER DEVELOPMENT**

DoD Directive 5160.49, "Defense Automatic Data Processing (ADP) Training and Civilian Career Development Coordination Program," November 28, 1980, establishes the DoD Computer Institute (DODCI) and Interservice ADP Training Coordination (IATC) Group, describes objectives, and prescribes functions and responsibilities, including resource support. The DODCI maintains a central education and training capability abreast of current technology. The DODCI provides training for DoD Components as well as for agencies in the executive and legislative branches of the federal government. The IATC Group collects and disseminates ADP training course data obtained from each DoD Component.

F. **MANAGEMENT OF AUTOMATED INFORMATION SYSTEMS**

1. DoD Directive 7920.1, "Life Cycle Management of Automated Information Systems (AIS)," October 17, 1978, establishes the process *for administering an AIS during its life cycle with special* emphasis on strengthening early decisions that shape AIS costs and utility. These decisions shall be based on full consideration of functional, ADP, and telecommunication requirements in order to produce an effective AIS.

2. DoD Instruction 7920.2, "Major Automated Information Systems Approval Process," October 20, 1978, sets up the milestones review and decision process and procedure for OSD approval of a major AIS meeting high dollar value thresholds.

3. DoD Instruction 5000.31, "Interim List of DoD Approved High Order Programming Languages (HOL)," November 24, 1976, cites the programming languages that may be used in defense systems acquisition and designates control *agents* for oversight in ensuring *language stability.* The USDR&E and the ASD(C) are *joint* action offices *for* this Instruction.

G. **INFORMATION TECHNOLOGY MANAGEMENT**

1. DoD *Directive 7950.1, "Automated* Data *Processing* Resources Management," September 29, 1980, assigns responsibilities and authorizes publication of a Manual to set forth procedures for reporting and inventorying, sharing, and reusing ADP resources.

2. DoD *Instruction 7930.1,* "ADP *User* Group Program," June 15, 1979, establishes ADP user groups for IBM, DEC, UNIVAC, Burroughs, and Honeywell computers to foster the exchange of ideas and information regarding ADP software associated with these types of ADP equipment. The groups accomplish their work. with a minimum *of formal administration* and conference requirements.

3. DoD Instruction 7930.2, "ADP Software Exchange and Release," December 31, 1979, provides uniform policies for the exchange of software with other government agencies through the GSA Federal Software Exchange Center and for the release of software to the general public through the Department of Commerce National Technical Information Service.

4. DoD Instruction 7935.1, "DoD Automated Data Systems Documentation Standards," September 13, 1977, assigns responsibilities, authorizes the publication of a Standard setting forth the types of documentation, requires all AIS to be documented according to the standards, and prescribes the procedures for determining the extent of documentation suitable for each situation.

H. PRIVACY

DoD Directive 5400.11, "Department of Defense Privacy Program," June 9, 1982, implements the Privacy Act of 1974, 5 U.S.C. 552a, and establishes the Defense Privacy Board under the chairmanship of the Deputy Assistant Secretary of Defense (Administration) (DASD(A)); provides for development and coordination of privacy procedures and programs, inventory of records systems that contain privacy data, and publication of all such systems of records in the Federal Register; and oversees the preparation of reports, as required by the OMB and the Congress.

I. RECORDS MANAGEMENT

1. DoD Directive 5015.2, "Records Management Program," September 17, 1980, implements 40 U.S.C. Chapters 29, 31, and 33 and provides for the Director, Washington Headquarters Services, to issue guidance on the life cycle of records from their creation, through their maintenance and use, to their disposition.

2. DoD Directive 4120.22, "Department of Defense Micrographics Program," June 20, 1977, designates the DASD(A) as having primary responsibility to promote interchange of micrographics concepts and management techniques, maintain surveillance over quality standards, and promote consolidation of micrographic activities.

J. TELECOMMUNICATE IONS

DoD Directive 5137.1, "Assistant Secretary of Defense (Communications, Command, Control, and Intelligence)," March 11, 1977, assigns the function of telecommunications to this designee within the Office of the USDR&E. The designee is also the OSD Principal Staff Assistant for the National Communications System.

K. SCIENTIFIC AND TECHNICAL INFORMATION

DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983, defines the concepts and assigns responsibilities for the operation and management of the DoD Scientific and Technical Information Program.

L. <u>SECURITY</u>

1. DoD Directive 5200.1, "DoD Information Security Program, " June 7, 1982, provides policy and procedures, delegates authority, and assigns responsibilities for the DoD Information Security Program. It covers all information developed by or for the Department of Defense or received by the Department of Defense from other sources that warrants protection from disclosure. Both manual and automated forms of information are included.

2. DoD Directive 5200.28, "Security Requirements for Automatic Data Processing (ADP) Systems," December 18, 1972, and DoD 5200.28-M, "ADP Security Manua 1," January 1973. The Directive establishes the DoD ADP Security Program setting forth security requirements, policy objectives, organizational responsibilities and structures, protective measures, and implementation, education, and testing procedures.

3. DoD Directive 5215.1, "Computer Security Evaluation Center," October 25, 1982, establishes the DoD Computer Security Evaluation Center (CSEC), provides policy, and assigns responsibilities for the technical evaluation of computer systems and network security and for related technical research.

M. <u>OTHER RELATED DOD ISSUANCES</u>

1. DoD Directive 4120.3, "Defense Standardization and Specification Program," February 10, 1979, and DoD 4120.3-M, '.'Defense Standardization and Specification Program Policies, Procedures and Instructions," August 1978. The Directive establishes and describes the DoD Standardization and Specification Program, assigns responsibilities for each area of standards, and prescribes the procedures for executing the Program. The Air Force is "assignee activity" for the DoD category of Information Processing Standards for Computers (IPSC). The Army and Navy are "participating agencies," and the Defense Agencies are review activities.

2. DoD Directive 5000.29, "Management of Computer Resources in Major Defense Systems," April 26, 1976, establishes policy for the management and control of computer resources integral to major defense systems during the development, acquisition, deployment, and support of such defense systems. It also creates a Management Steering Committee, on which the ASD(C) is a member, to oversee accomplishment of policies in the Directive.

3. DoD Directive 5100.30, "World-Wide Military Command and Control System (WWMCCS)," December 2, 1971, defines the functional, organizational, and operational relationships between all elements of the WWMCCS. The ASD(C) is the focal point for procurement, reporting, and reutilization of ADP equipment for WWMCCS.

4. Defense Acquisition Regulation, Subpart 4-1100, prescribes contracting procedures for the procurement of ADP equipment and services. The subpart specifies that "support" services, such as computer programming and systems analysis, do not require a delegation of procurement authority from the GSA.

DEFINITIONS

1. <u>Information.</u> The meaning people assign to data that increases their knowledge with regard to an item of interest. Information usually is derived from the assembly, analysis, or summarization of data.

2. <u>Information Collection.</u> The obtaining or soliciting of facts or opinions through the use of written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods.

3. <u>Information Resources Management (IRM)</u>. The policy, action, or procedure concerning information (both automated and nonautomated) that ❏ anagement establishes to serve the overall current and future needs of the organization. IRM policy and procedures would address such areas as availability, timeliness, accuracy, integrity, privacy, security, auditability, ownership, use, and cost-effectiveness of information.

4. <u>Information System.</u> The structure used for the repetitive conversion of data into information; whether automated or nonautomated, it normally involves personnel, equipment, and procedures.

5. <u>Information Technology.</u> Such technical resources as automatic data processing (ADP), telecommunications, micrographics, reprographics, office information systems, and other office automation used to address problems in information handling, use, processing, storage, and management.